

MARYLAND DEPARTMENT OF JUVENILE SERVICES



POLICY & PROCEDURE

SUBJECT: Residential Facilities Case File Format
NUMBER: RF-05-05 (Residential Facilities)
APPLICABLE TO: Residential services employees
EFFECTIVE DATE: February 24, 2006

Approved: "/s/signature on original copy"
Kenneth C. Montague, Jr., Secretary

1. **POLICY.** The Department of Juvenile Services (DJS) shall maintain a case file/record for each youth in care residing in DJS owned or operated residential facilities. Each residential facility shall create one base file for each youth in care which shall contain all official documents and written information pertaining to the youth. Youth case files shall be accurate and kept up to date in chronological order. Medical records shall be maintained in a separate confidential file that is kept in a designated locked location. File destruction shall be in accordance with the DJS Record Retention and Disposal Schedule.
2. **AUTHORITY.**
 - a. Article 83C, §§ 2-102, 2-117 and 2-118, Annotated Code of Maryland.
 - b. American Correctional Association, 3-JDF1E-06; 3-JDF-1E07 and 3-JDF-4C-47.
3. **DEFINITIONS.**
 - a. *Base File* means the official file established upon a youth's entry into a residential facility that contains all written documentation received or created while the youth is in placement.
 - b. *Case Record/File* means an organized compilation of written documents, reports, evaluations, notes, contacts, progress notes, summaries, treatment plans, behavior reports, and other information pertaining to the provision or coordination of necessary services for a particular youth.
4. **PROCEDURES.**
 - a. **General Procedures.**
 - (1) Each facility or program shall establish a secure records/file storage area that shall be accessible to Managers, Supervisors, Case Management Specialists, or other employees designated by the Facility Administrator or Program Manager for the storage, safekeeping, access, and use of youth case records/files.
 - (2) One base file shall be established and maintained for each youth upon

admission of the youth into the residential facility. The base file shall be closed and securely stored upon the youth's release. Youth files shall be destroyed in accordance with the DJS Record Retention and Disposal Schedule.

- (3) Youth medical records shall be maintained in a separate confidential file, kept in a locked location. Access to the medical records is controlled by the health authority.
- (4) The education unit or school employees may maintain a separate education file for each youth to contain education related information. Appropriate employees, such as Case Management Specialists, Treatment Team Members, and clinical employees may review education files as necessary.
- (5) Each youth record/ base file shall be labeled on the outside of the record with the youth's last name, first name and ASSIST PID number.
- (6) Duplicate files will not be allowed; however, a working file may be utilized by the Facility Case Management Specialist, and must be securely maintained to insure confidentiality.
- (7) All documents from the working file shall be incorporated into the youth's base file.
- (8) The youth's base file shall consist of a six part file for committed programs, and may consist of a two part file for detention programs.
- (9) All documents shall be attached to the youth's base file, and shall be maintained in chronological order, with the most recent material on top.
- (10) Health/medical records will be maintained in a secure location and separate from case records.

b. Duties and Responsibilities.

(1) Facility Case Management Specialist shall:

- (i) Update, maintain, and ensure the completeness, confidentiality, and accuracy of the youth's base file.
- (ii) Ensure that a youth's base file is established within 24 hours of a youth's admittance into a facility, and closed upon the youth's release from the facility. If the youth returns to the facility after official release, the original youth base file may be retrieved from the closed storage and re-opened.
- (iii) Ensure that all documents contained in the youth's base file are dated and filed in chronological order.
- (iv) Ensure that all documents will be filed in the youth's base file

- within 48 hours excluding weekends and holidays.
- (v) File within 24 hours of a weekend or a holiday all documents in the youth's base file.

(2) Facility Case Management Specialist Supervisor shall:

- (i) Monitor to ensure that a youth's-base file is established within 24 hours of a youth's admittance into a facility, and closed upon a youth's release from the facility.
- (ii) Monitor to ensure that all documents contained in the youth's base file are dated and filed in chronological order.
- (iii) Monitor to ensure that all documents are filed in the youth's base file within 48 hours excluding weekends and holidays.

c. Files.

(1) Six part files shall contain the following materials in designated sections:

- (i) Section One:
 - (a) Current court order (commitment or detention);
 - (b) Detention authorization form;
 - (c) Youth face sheet;
 - (d) Intake documents;
 - (e) Treatment Service Plan (TSP);
 - (f) Offense history;
 - (g) Social history;
 - (h) Parental Consent/Release Forms;
 - (i) Social history; and.
 - (j) Permanency Plan.
- (ii) Section Two:
 - (a) Medical consent forms;
 - (b) Dietary order form;
 - (c) Medical Assistance/Medicaid information;
 - (d) Medical and dental reports not contained in the medical file;
 - (e) Psychiatric evaluations;
 - (f) Psychological evaluations;
 - (g) Substance abuse assessments;
 - (h) Auxiliary aids/services requests; and
 - (i) Suicide watch/alert information.
- (iii) Section Three:
 - (a) Letters to/from Community Case Management Specialists (Probation Officers);
 - (b) Letters to/from parents or guardians;
 - (c) Letters to/from other agencies; and
 - (d) Court memorandums - to/from the facility.
- (iv) Section Four:

- (a) Alert information (non-medical);
- (b) Transfer/Release Forms;
- (c) New admission/orientation form;
- (d) Telephone use log;
- (e) Approved visitor list; and
- (f) Supply distribution list.
- (v) Section Five:
 - (a) Contact sheets/case notes;
 - (b) Incident reports;
 - (c) Education reports;
 - (d) Behavior reports;
 - (e) Behavioral watch alert sheets;
 - (f) Progress reports; and
 - (g) Discharge summaries.
- (vi) Section Six:
 - (a) Income eligibility form;
 - (b) Intake screening tool (form);
 - (c) Intake clothing/valuables form;
 - (d) Personal property slips;
 - (e) Classification document; and
 - (f) Police reports.

(2) Two Part Files shall contain materials on designated sides:

- (i) Left side of file:
 - (a) Court order;
 - (b) Detention authorization form;
 - (c) Youth face sheet;
 - (d) Intake documents;
 - (e) Dietary order form;
 - (f) Offense history;
 - (g) Medical consent forms;
 - (h) Parental consent forms;
 - (i) Auxiliary aids/services request forms;
 - (j) Suicide watch/alert information;
 - (k) Classification documents/forms;
 - (l) Other alert information;
 - (m) Transfer/Release forms;
 - (n) New admission orientation form;
 - (o) Telephone use log;
 - (p) Approved visitor list;
 - (q) Supply distribution list;
 - (r) Income eligibility form;
 - (s) Intake screening tool/form;
 - (t) Intake clothing/valuables form;
 - (u) Personal property slips;
 - (v) Police reports; and
 - (w) Other legal documents.

- (ii) Right side of file:
 - (a) TSP;
 - (b) Social history;
 - (c) Medical reports not contained in the medical file;
 - (d) Psychiatric evaluations;
 - (e) Psychological evaluations;
 - (f) Substance abuse assessments;
 - (g) Letters to/from Community Case Management Specialists (Probation Officers);
 - (h) Letters to/from parents or guardians;
 - (i) Letters to/from other agencies;
 - (j) Court memorandum to/from the facility;
 - (k) Progress reports;
 - (l) Contact sheets/case notes;
 - (m) Incident reports;
 - (n) Education reports;
 - (o) Behavior reports; and
 - (p) Discharge report.

5. DIRECTIVES/POLICIES AFFECTED.

a. Directives/Policies Rescinded - **None.**

b. Directives Referenced - **None.**

6. LOCAL IMPLEMENTING PROCEDURES REQUIRED. Yes

7. FAILURE TO COMPLY.

Failure to comply with a Secretary's Policy and Procedure shall be grounds for disciplinary action up to and including termination of employment.

Appendices – None.



MARYLAND DEPARTMENT OF JUVENILE SERVICES EMPLOYEE STATEMENT OF RECEIPT POLICY AND PROCEDURE

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I have received one copy (electronic or paper) of the Policy and/or Procedure as titled above. I acknowledge that I have read and understand the document, and agree to comply with it.

SIGNATURE

PRINTED NAME

DATE

(THE ORIGINAL COPY MUST BE RETURNED TO YOUR IMMEDIATE SUPERVISOR FOR FILING WITH PERSONNEL, AS APPROPRIATE.)